

DECLARATION**INVENTORSHIP IDENTIFICATION**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below, next to my name. I believe that I am the original, first and sole inventor (*if only one name is listed below*) or an original, first and joint inventor (*if plural names are listed below*) of the subject matter that is claimed, and for which a patent is sought on the invention entitled:

**CATALYTIC PROCESSES FOR THE CONTROLLED POLYMERIZATION OF FREE RADICALLY
(Co)POLYMERIZABLE MONOMERS AND FUNCTIONAL POLYMERIC SYSTEMS PREPARED THEREBY**

TITLE OF INVENTION**SPECIFICATION IDENTIFICATION**

the specification of which:

- (a) ☐ is attached hereto.
- (b) ☒ was filed on March 23, 2000, as ☒ Serial No. 09/534,827
☐ and was amended on (if applicable).
- (c) ☐ was described and claimed in PCT International Application No. filed on
☐ and was amended on , (*if applicable*).

ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56.

PRIORITY CLAIMS UNDER 35 U.S.C. § 119(a)-(d)
(Prior Foreign/Pct Application(S) Filed Within 12 Months
(6 Months For Design) Prior To This Application)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate(s) or 365(a) of any PCT international application(s) which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate(s) or any PCT international application(s) having a filing date before that of the application(s) of which priority is claimed.

Application Number	Country or PCT	Date Of Filing (Day, Month, Year)	Priority not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	<input type="checkbox"/> YES <input type="checkbox"/> NO

CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S) UNDER 35 U.S.C. § 119(e)

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
60/125,809	March 23, 1999
60/142,980	July 12, 1999

CLAIM FOR BENEFIT OF EARLIER US/PCT APPLICATION(S) UNDER 35 U.S.C. 120

(All Foreign Application(S), *If Any*, Filed More Than 12 Months
(6 Months For Design) Prior To This U.S. Application)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or 365(c) PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application.

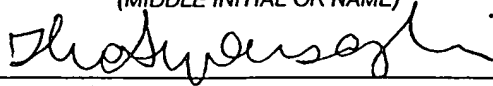
U.S Parent Application No.	PCT Parent Application No.	Date Of Filing (Day, Month, Year)	Parent Patent No. (<i>If applicable</i>)

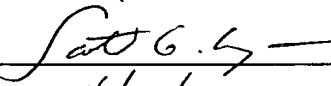
DECLARATION

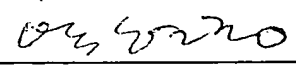
I hereby declare that my presentation of this paper constitutes a certification under 37 C.F.R § 10.18, which provides, in part, that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application and any patent issuing therefrom.

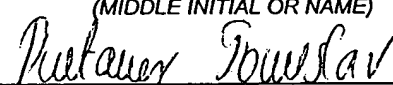
SIGNATURE(S)

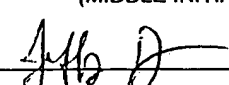
Inventor(s)

<u>Krzysztof</u> (GIVEN NAME)	<u></u> (MIDDLE INITIAL OR NAME)	<u>Matyjaszewski</u> FAMILY (OR LAST NAME)
Inventor's signature <u></u>		
Date	<u>4/18/00</u>	Country of Citizenship <u>USA</u>
Residence	<u>Pittsburgh, PA 15238</u>	
Post Office Address	<u>9 Queens Court, Pittsburgh, PA 15238</u>	

<u>Scott</u> (GIVEN NAME)	<u>G.</u> (MIDDLE INITIAL OR NAME)	<u>Gaynor</u> FAMILY (OR LAST NAME)
Inventor's signature <u></u>		
Date	<u>4/18/00</u>	Country of Citizenship <u>USA</u>
Residence	<u>Pittsburgh, PA 15221</u>	
Post Office Address:	<u>228 Woodside Road, Pittsburgh, PA 15221</u>	

<u>Hyun-jong</u> (GIVEN NAME)	<u></u> (MIDDLE INITIAL OR NAME)	<u>Paik</u> FAMILY (OR LAST NAME)
Inventor's signature <u></u>		
Date	<u>4/18/2000</u>	Country of Citizenship <u>South Korea</u>
Residence	<u>Pittsburgh, PA 15213</u>	
Post Office Address:	<u>400 N. Neville Street, #203, Pittsburgh, PA 15213</u>	

<u>Tomislav</u> (GIVEN NAME)	<u></u> (MIDDLE INITIAL OR NAME)	<u>Pintauer</u> FAMILY (OR LAST NAME)
Inventor's signature <u></u>		
Date	<u>04/18/2000</u>	Country of Citizenship <u>Croatia</u>
Residence	<u>Pittsburgh, PA 15217</u>	
Post Office Address	<u>5644 Beacon Street, Apt. 2R, Pittsburgh, PA 15217</u>	

<u>Jeff</u> (GIVEN NAME)	<u></u> (MIDDLE INITIAL OR NAME)	<u>Pyun</u> FAMILY (OR LAST NAME)
Inventor's signature <u></u>		
Date	<u>4/18/00</u>	Country of Citizenship <u>USA</u>
Residence	<u>Pittsburgh, PA 15213</u>	
Post Office Address:	<u>4750 Centre Avenue, Apt. 3, Pittsburgh, PA 15213</u>	

Jian		Qiu
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature *Jian*

Date 4/18/80 Country of Citizenship Peoples Republic of China

Residence Pittsburgh, PA 15213

Post Office Address: 4910 Centre Avenue, Apt. E-12, Pittsburgh, PA 15213

Mircea		Teodorescu
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature _____

Date _____ Country of Citizenship Romania

Residence Bucharest 78126 Romania

Post Office Address: 1 Gh. Polizu Street, Bucharest 78126 Romania

Jianhui		Xia
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature _____

Date _____ Country of Citizenship Peoples Republic of China

Residence Pittsburgh, PA 15213

Post Office Address: 358 Oakland Avenue, Apt. 3, Pittsburgh, PA 15213

Xuan		Zhang
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature _____

Date _____ Country of Citizenship Peoples Republic of China

Residence Woburn, MA 01801

Post Office Address: 2 Mikaila Way, Woburn, MA 01801

Jian		Qiu
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature _____

Date _____ Country of Citizenship Peoples Republic of China

Residence Pittsburgh, PA 15213

Post Office Address: 4910 Centre Avenue, Apt. E-12, Pittsburgh, PA 15213

Mircea		Teodorescu
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature M Teodorescu

Date 4/26/2000 Country of Citizenship Romania

Residence Bucharest 78126 Romania

Post Office Address: 1 Gh. Polizu Street, Bucharest 78126 Romania

Jianhui		Xia
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature _____

Date _____ Country of Citizenship Peoples Republic of China

Residence Pittsburgh, PA 15213

Post Office Address: 358 Oakland Avenue, Apt. 3, Pittsburgh, PA 15213

Xuan		Zhang
(GIVEN NAME)	(MIDDLE INITIAL OR NAME)	FAMILY (OR LAST NAME)

Inventor's signature _____

Date _____ Country of Citizenship Peoples Republic of China

Residence Woburn, MA 01801

Post Office Address: 2 Mikaila Way, Woburn, MA 01801

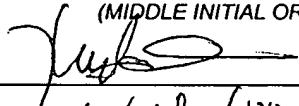
Jian Qiu
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature _____
Date _____ Country of Citizenship Peoples Republic of China
Residence Pittsburgh, PA 15213
Post Office Address: 4910 Centre Avenue, Apt. E-12, Pittsburgh, PA 15213

Mircea Teodorescu
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature _____
Date _____ Country of Citizenship Romania
Residence Bucharest 78126 Romania
Post Office Address: 1 Gh. Polizu Street, Bucharest 78126 Romania

Jianhui Xia
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature 
Date 4/18/00 Country of Citizenship Peoples Republic of China
Residence Pittsburgh, PA 15213
Post Office Address: 358 Oakland Avenue, Apt. 3, Pittsburgh, PA 15213

Xuan Zhang
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature _____
Date _____ Country of Citizenship Peoples Republic of China
Residence Woburn, MA 01801
Post Office Address: 2 Mikaila Way, Woburn, MA 01801

Jian Qiu
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature _____
Date _____ Country of Citizenship Peoples Republic of China
Residence Pittsburgh, PA 15213
Post Office Address: 4910 Centre Avenue, Apt. E-12, Pittsburgh, PA 15213

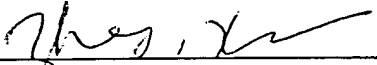
Mircea Teodorescu
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature _____
Date _____ Country of Citizenship Romania
Residence Bucharest 78126 Romania
Post Office Address: 1 Gh. Polizu Street, Bucharest 78126 Romania

Jianhui Xia
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature _____
Date _____ Country of Citizenship Peoples Republic of China
Residence Pittsburgh, PA 15213
Post Office Address: 358 Oakland Avenue, Apt. 3, Pittsburgh, PA 15213

Xuan Zhang
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)

Inventor's signature 
Date 4/19/00 Country of Citizenship Peoples Republic of China
Residence Woburn, MA 01801
Post Office Address: 2 Mikaila Way, Woburn, MA 01801

<u>Peter</u> (GIVEN NAME)	<u>J.</u> (MIDDLE INITIAL OR NAME)	<u>Miller</u> FAMILY (OR LAST NAME)
<hr/>		
Inventor's signature	<u><i>Peter J. Miller</i></u>	
Date	<u>4/28/00</u>	Country of Citizenship <u>USA</u>
Residence	<u>Imperial, PA 15126</u>	
<hr/>		
Post Office Address: <u>140 Forest Glen Drive, Imperial, PA 15126</u>		
<hr/>		
<input type="checkbox"/>	Signature by administrator(trix), or legal representative for deceased or incapacitated inventor. <i>Number of pages added</i> _____.	
<input type="checkbox"/>	Signature for inventor who refuses to sign or cannot be reached by person authorized under 37 CFR 1.47. <i>Number of pages added</i> _____.	
<input type="checkbox"/>	Added page for signature by one joint inventor on behalf of deceased inventor(s) where legal representative cannot be appointed in time. (37 CFR 1.47) <i>Number of pages added</i> _____.	
<input type="checkbox"/>	Authorization of attorney(s) to accept and follow instructions from representative.	
<input checked="" type="checkbox"/>	This declaration ends with this page.	

Attorney's Docket No. 00093

PATENT

For: ☒ U.S. and/or ☒ Foreign Rights
For: ☒ U.S. Application or
☐ U.S. Provisional Application
For: ☐ U.S. Patent
For: ☐ PCT Application
By: Multiple Inventors

ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (Inventors):

<u>Krzysztof Matyjaszewski</u> (type or print name of inventors)	<u>9 Queens Court</u> <u>Pittsburgh, PA 15238</u> Address	<u>USA</u> Nationality
<u>Scott G. Gaynor</u>	<u>228 Woodside Road</u> <u>Pittsburgh, PA 15221</u>	<u>USA</u>
<u>Hyun-jong Paik</u>	<u>400 N. Neville St. #203</u> <u>Pittsburgh, PA 15213</u>	<u>S. Korea</u>
<u>Tomislav Pintauer</u>	<u>5644 Beacon Street, Apt. 2R</u> <u>Pittsburgh, PA 15217</u>	<u>Croatia</u>
<u>Jeff Pyun</u>	<u>4750 Centre Avenue, Apt. #3</u> <u>Pittsburgh, PA 15213</u>	<u>USA</u>
<u>Jian Qiu</u>	<u>4910 Centre Avenue, Apt. E-12</u> <u>Pittsburgh, PA 15213</u>	<u>Peoples Rep. Of China</u>
<u>Mircea Teodorescu</u>	<u>1 Gh. Polizu Street</u> <u>Bucharest 78126 Romania</u>	<u>Romania</u>
<u>Jianhui Xia</u>	<u>358 Oakland Avenue, Apt. 3</u> <u>Pittsburgh, PA 15213</u>	<u>Peoples Rep. Of China</u>
<u>Xuan Zhang</u>	<u>2 Mikaila Way</u> <u>Woburn, MA 01801</u>	<u>Peoples Rep. Of China</u>
<u>Peter J. Miller</u>	<u>140 Forest Glen Drive</u> <u>Imperial, PA 15126</u>	<u>USA</u>

hereby sells, assigns and transfers to

ASSIGNEE:

Carnegie Mellon University
(type or print name of ASSIGNEE)

5000 Forbes Avenue
Address

(a Non-profit Pennsylvania organization)
Nationality

Pittsburgh, PA 15213

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

- ☒ the entire right, title and interest
- ☐ an undivided _____ percent (_____ %) interest for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled: **CATALYTIC PROCESSES FOR THE CONTROLLED POLYMERIZATION OF FREE RADICALLY (Co)POLYMERIZABLE MONOMERS AND FUNCTIONAL POLYMERIC SYSTEMS PREPARED THEREBY**

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
- (b) ☐ U.S. patent application executed on _____
- (c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention
- ☐ Express mail label no.: _____
- Mailed: _____
- ☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.
- (d) ☒ U.S. application no.: 09/534,827 filed on March 23, 2000
- (e) ☐ International application no. PCT / _____ / _____
filed on _____
- (f) ☐ U.S. patent no. _____ issued _____
- ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

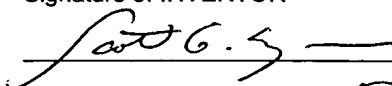
IN WITNESS WHEREOF, We have hereunto set hand and seal this _____
Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

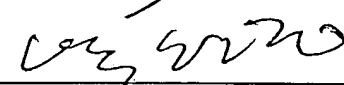
Krzysztof Matyjaszewski
(type name of Inventor)

 4/18/2000
Signature of INVENTOR Date

Scott G. Gaynor

 4/18/2000
Date

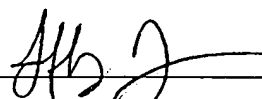
Hyun-jong Paik

 4/18/2000
Date


Tomislav Pintauer

 4/18/2000
Date

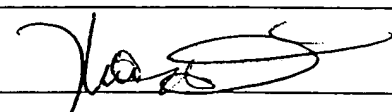
Jeff Pyun

 4/18/2000
Date

Jian Qiu

 4/18/2000
Date

Mircea Teodorescu

 4/18/2000
Date

Jianhui Xia

 4/18/2000
Date

Xuan Zhang

Peter J. Miller

 4/18/2000
Date

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this April 19, 2000
Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Krzysztof Matyjaszewski
(type name of Inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Paik

Tomislav Pintauer

Jeff Pyun

Jian Qiu

Mircea Teodorescu

Jianhui Xia

Xuan Zhang

Peter J. Miller

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this April 26, 2000
Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Krzysztof Matyjaszewski
(type name of Inventor)

Signature of INVENTOR

Scott G. Gaynor

Hyun-jong Paik

Tomislav Pintauer

Jeff Pyun

Jian Qiu

Mircea Teodorescu

M Teodorescu

Jianhui Xia

Xuan Zhang

Peter J. Miller

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.